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(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Alternate II. (GRANTEES WHO ARE INDIVIDUALS)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21694, May 25, 1990]

PART 1007—SALARY OFFSET

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AUTHORITY: 5 U.S.C. 5514, E.O. 12107, 3 CFR, 1978 Comp., p. 264; 5 CFR part 550, subpart K, and 22 U.S.C. 290f(e)(11).

SOURCE: 57 FR 2837, Jan. 24, 1992, unless otherwise noted.

§ 1007.1 Purpose and scope.

(a) This regulation provides procedures for the collection by administrative offset of a federal employee's salary without his/her consent to satisfy certain debts owed to the federal government. These regulations apply to all federal employees who owe debts to the Inter-American Foundation (IAF) and to current employees of the Inter-American Foundation who owe debts to other federal agencies. This regulation does not apply when the employee consents to recovery from his/her current pay account.

(b) This regulation does not apply to debts or claims arising under:

(1) The Internal Revenue Code of 1954, as amended, 26 U.S.C. 1 *et seq.*;

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(2) The Social Security Act, 42 U.S.C. 301 *et seq.*;

(3) The tariff laws of the United States; or

(4) Any case where a collection of a debt by salary offset is explicitly provided for or prohibited by another statute.

(c) This regulation does not apply to any adjustment to pay arising out of an employee's selection of coverage or a change in coverage under a federal benefits program requiring periodic deductions from pay if the amount to be recovered was accumulated over four pay periods or less.

(d) This regulation does not preclude the compromise, suspension, or termination of collection action where appropriate under the standards implementing the Federal Claims Collection Act, 31 U.S.C. 3711 *et seq.*, 4 CFR parts 101 through 105, 45 CFR part 1177.

(e) This regulation does not preclude an employee from requesting waiver of an overpayment under 5 U.S.C. 5584, 10 U.S.C. 2774 or 32 U.S.C. 716 or in any way questioning the amount or validity of the debt by submitting a subsequent claim to the General Accounting Office. This regulation does not preclude an employee from requesting a waiver pursuant to other statutory provisions applicable to the particular debt being collected.

(f) Matters not addressed in these regulations should be reviewed in accordance with the Federal Claims Collection Standards at 4 CFR 101.1 *et seq.*

§ 1007.2 Definitions.

For the purposes of the part, the following definitions will apply:

Agency means an executive agency as defined at 5 U.S.C. 105 including the U.S. Postal Service, the U.S. Postal Commission, a military department as defined at 5 U.S.C. 102, an agency or court in the judicial branch, an agency of the legislative branch including the U.S. Senate and House of Representatives and other independent establishments that are entities of the Federal government.

Creditor Agency means the agency to which the debt is owed.

Debt means an amount owed to the United States from sources which include loans insured or guaranteed by

the United States and all other amounts due the United States from fees, leases, rents, royalties, services, sales of real or personal property, overpayments, penalties, damages, interests, fines, forfeitures (except those arising under the Uniform Code of Military Justice), and all other similar sources.

Disposable pay means the amount that remains from an employee's federal pay after the required deductions for social security, federal, state or local income tax, health insurance premiums, retirement contributions, life insurance premiums, federal employment taxes, and any other deductions that are required to be withheld by law.

Hearing official means an individual responsible for conducting any hearing with respect to the existence or amount of a debt claimed and who renders a decision on the basis of such hearing. A hearing official may not be under the supervision or control of the President of the Inter-American Foundation.

Paying Agency means the agency that employs the individual who owes the debt and authorizes the payment of his/her current pay.

President means the President of the Inter-American Foundation or the President's designee.

Salary offset means an administrative offset to collect a debt pursuant to 5 U.S.C. 5514 by deduction(s) at one or more officially established pay intervals from the current pay account of an employee without his/her consent.

§ 1007.3 Applicability.

(a) These regulations are to be followed when:

(1) The Inter-American Foundation is owed a debt by an individual currently employed by another federal agency;

(2) The Inter-American Foundation is owed a debt by an individual who is a current employee of the Inter-American Foundation; or

(3) The Inter-American Foundation employs an individual who owes a debt to another federal agency.

§ 1007.4 Notice requirements.

(a) Deductions shall not be made unless the employee is provided with

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written notice, signed by the President, of the debt at least 30 days before salary offset commences.

(b) The written notice shall contain:

(1) A statement that the debt is owed and an explanation of its nature and amount;

(2) The agency's intention to collect the debt by deducting from the employee's current disposable pay account;

(3) The amount, frequency, proposed beginning date, and duration of the intended deduction(s);

(4) An explanation of interest, penalties, and administrative charges, including a statement that such charges will be assessed unless excused in accordance with the Federal Claims Collections Standards at 4 CFR 101.1 *et seq.*;

(5) The employee's right to inspect, request, and receive a copy of government records relating to the debt;

(6) The opportunity to establish a written schedule for the voluntary repayment of the debt;

(7) The right to a hearing conducted by an impartial hearing official;

(8) The methods and time period for petitioning for hearings;

(9) A statement that the timely filing of a petition for a hearing will stay the commencement of collection proceedings;

(10) A statement that a final decision on the hearing will be issued not later than 60 days after the filing of the petition requesting the hearing unless the employee requests and the hearing official grants a delay in the proceedings;

(11) A statement that knowingly false or frivolous statements, representations, or evidence may subject the employee to appropriate disciplinary procedures;

(12) A statement of other rights and remedies available to the employee under statutes or regulations governing the program for which the collection is being made; and

(13) Unless there are contractual or statutory provisions to the contrary, a statement that amounts paid on or deducted for the debt which are later waived or found not owed to the United States will be promptly refunded to the employee.

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§ 1007.5 Hearing.

(a) *Request for hearing.* (1) An employee must file a petition for a hearing in accordance with the instructions outlined in the agency's notice to offset.

(2) A hearing may be requested by filing a written petition addressed to the President of the Inter-American Foundation stating why the employee disputes the existence or amount of the debt. The petition for a hearing must be received by the President no later than fifteen (15) calendar days after the date of the notice to offset unless the employee can show good cause for failing to meet the deadline date.

(b) *Hearing procedures.* (1) The hearing will be presided over by an impartial hearing official.

(2) The hearing shall conform to procedures contained in the Federal Claims Collection Standards, 4 CFR 102.3(c). The burden shall be on the employee to demonstrate that the existence or the amount of the debt is in error.

§ 1007.6 Written decision.

(a) The hearing official shall issue a written opinion no later than 60 days after the hearing.

(b) The written opinion will include: a statement of the facts presented to demonstrate the nature and origin of the alleged debt; the hearing official's analysis, findings and conclusions; the amount and validity of the debt, and the repayment schedule.

§ 1007.7 Coordinating offset with another Federal agency.

(a) *The Inter-American Foundation as the creditor agency.* (1) When the President determines that an employee of another federal agency owes a delinquent debt to the Inter-American Foundation, the President shall as appropriate:

(i) Arrange for a hearing upon the proper petitioning by the employee;

(ii) Certify to the paying agency in writing that the employee owes the debt, the amount and basis of the debt, the date on which payment is due, the date the Government's right to collect the debt accrued, and that Foundation regulations for salary offset have been

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approved by the Office of Personnel Management;

(iii) If collection must be made in installments, the President must advise the paying agency of the amount or percentage of disposable pay to be collected in each installment;

(iv) Advise the paying agency of the actions taken under 5 U.S.C. 5514(b) and provide the dates on which action was taken unless the employee has consented to salary offset in writing or signed a statement acknowledging receipt of procedures required by law. The written consent or acknowledgment must be sent to the paying agency;

(v) If the employee is in the process of separating, the Foundation must submit its debt claim to the paying agency as provided in this part. The paying agency must certify any amounts already collected, notify the employee, and send a copy of the certification and notice of the employee's separation to the Inter-American Foundation. If the paying agency is aware that the employee is entitled to payments from the Civil Service Retirement and Disability Fund or similar payments, it must certify to the agency responsible for making such payments the amount of the debt and that the provisions of 5 CFR 550.1108 have been followed; and

(vi) If the employee has already separated and all the payments due from the paying agency have been paid, the President may request unless otherwise prohibited, that money payable to the employee from the Civil Service Retirement and Disability Fund or other similar funds be collected by administrative offset.

(b) *The Foundation as the paying agency.* (1) Upon receipt of a properly certified debt claim from another agency, deductions will be scheduled to begin at the next established pay interval. The employee must receive written notice that the Inter-American Foundation has received a certified debt claim from the creditor agency, the amount of the debt, the date salary offset will begin, and the amount of the deduction(s). The Inter-American Foundation shall not review the merits of the creditor agency's determination of the

validity or the amount of the certified claim.

(2) If the employee transfers to another agency after the creditor agency has submitted its debt claim to the Inter-American Foundation and before the debt is collected completely, the Inter-American Foundation must certify the total amount collected. One copy of the certification must be furnished to the employee. A copy must be furnished to the creditor agency with notice of the employee's transfer.

§ 1007.8 Procedures for salary offset.

(a) Deductions to liquidate an employee's debt will be by the method and in the amount stated in the President's notice of intention to offset as provided in §1007.4. Debts will be collected in one lump sum where possible. If the employee is financially unable to pay in one lump sum, collection must be made in installments.

(b) Debts will be collected by deduction at officially established pay intervals from an employee's current pay account unless alternative arrangements for repayment are made.

(c) Installment deductions will be made over a period not greater than the anticipated period of employment. The size of installment deductions must bear a reasonable relationship to the size of the debt and the employee's ability to pay. The deduction for the pay interval for any period must not exceed 15% of disposable pay unless the employee has agreed in writing to a deduction of a greater amount.

(d) Unliquidated debts may be offset against any financial payment due to a separated employee including but not limited to final salary or leave payments in accordance with 31 U.S.C. 3716.

§ 1007.9 Refunds.

(a) The Inter-American Foundation will refund promptly any amounts deducted to satisfy debts owed to the IAF when the debt is waived, found not owed to the IAF, or when directed by an administrative or judicial order.

(b) The creditor agency will promptly return any amounts deducted by IAF to satisfy debts owed to the creditor agency when the debt is waived, found

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not owed, or when directed by an administrative or judicial order.

(c) Unless required by law, refunds under this subsection shall not bear interest.

§ 1007.10 Statute of limitations.

If a debt has been outstanding for more than 10 years after the agency's right to collect the debt first accrued, the agency may not collect by salary offset unless facts material to the Government's right to collect were not known and could not reasonably have been known by the official or officials who were charged with the responsibility for discovery and collection of such debts.

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§ 1007.11 Non-waiver of rights.

An employee's involuntary payment of all or any part of a debt collected under these regulations will not be construed as a waiver of any rights that employee may have under 5 U.S.C. 5514 or any other provision of contract or law unless there are statutes or contract(s) to the contrary.

§ 1007.12 Interest, penalties, and administrative costs.

Charges may be assessed for interest, penalties, and administrative costs in accordance with the Federal Claims Collection Standards, 4 CFR 102.13.

CHAPTER XI—INTERNATIONAL BOUNDARY AND WATER COMMISSION, UNITED STATES AND MEXICO, UNITED STATES SECTION

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PART 1100—EMPLOYEE RESPONSIBILITIES AND CONDUCT

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APPENDIX A—EXECUTIVE ORDER \1\

APPENDIX B—HOUSE CONCURRENT RESOLUTION 175, 85TH CONGRESS 2D SESSION

APPENDIX C—DIGEST OF CONFLICT OF INTEREST LAWS

APPENDIX D—ETHICAL STANDARDS OF CONDUCT

AUTHORITY: Federal Personnel Manual, Chapter 735 paragraph 1-5c.

SOURCE: 40 FR 32116, July 31, 1975, unless otherwise noted.

Subpart A—General

§ 1100.1 Reference.

- (a) Executive Order 11222.²
(b) Federal Personnel Manual, Chapter 735, Employee Responsibilities and Conduct.

§ 1100.2 Purpose.

The maintenance of unusually high standards of honesty, integrity, and conduct by employees and special Government employees is essential to assure the proper performance of the Section's business and the maintenance of confidence by citizens in their Government. The avoidance of misconduct and conflicts of interest on the part of employees and special Government employees through informed judgement is indispensable to the maintenance of these standards. To accord with these concepts, the order sets forth the section's regulations prescribing standards of conduct and responsibilities and governing statements of employment and financial interests for employees and special Government employees.

§ 1100.3 Definitions.

In this order, the following terms mean:

(a) *Employee*. An officer and an employee of the United States Section of the International Boundary and Water Commission, United States and Mexico, but does not include a special Government employee.

(b) *Person*. An individual, a corporation, a company, an association, a firm, a partnership, a society, a joint stock company, or any other organization or institution.

(c) *Section*. United States Section of the International Boundary and Water Commission, United States and Mexico.

(d) *Special government employee*. A special Government employee as defined by section 202 of title 18 of the United States Code who is employed by the Section.

¹Appendices A through D filed as part of the original document.

²30 FR 6469, 3 CFR, 1964-65 Comp., p. 306.

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(e) *Remedial action.* An action taken against an employee or special Government employee as a result of a violation of this Order. Remedial action may include, but is not limited to:

- (1) Changes in assigned duties;
- (2) Divestment by the employee or special Government employees of conflicting interests;
- (3) Disciplinary action which may be in addition to any penalty prescribed by law; or
- (4) Disqualification for a particular assignment.

Remedial action, whether disciplinary or otherwise, shall be effected in accordance with any applicable laws, executive orders, and governing regulations.

§ 1100.4 Policy.

(a) In Executive Order 11222 prescribing standards of ethical conduct for Government officers and employees, the President asserted the following policy: Where Government is based on the consent of the governed, every citizen is entitled to have complete confidence in the integrity of his government. Each individual officer, employee, or advisor of government must help to earn and must honor that trust by his own integrity and conduct in all official actions.

(b) This order sets forth the rules and regulations adopted by the Section in response to Executive Order 11222 and implements chapter 735 of the Federal Personnel Manual. It is the obligation of every employee to be thoroughly familiar with the requirements herein and it is further the responsibility of each supervisor to assure complete understanding by employees in his organization.

(c) Any information which indicates that an employee may have violated the provisions of this Order should be forwarded through channels by the employee's supervisors. It should be sent to the supervisory official who, under current instructions, is authorized to take appropriate remedial or disciplinary action. Such action should be taken at the lowest practicable supervisory level in order that if necessary, reviews may be made at a higher level of supervision. The official to whom information is addressed will make a

thorough investigation of the matter and take appropriate action. The Personnel Director, or designated representative, will be consulted to insure that proposed actions are proper and in accordance with applicable laws, Civil Service Commission regulations, and Section requirements. When official information is involved, the official investigating the matter will insure that such information is protected in accordance with applicable regulations.

(d) Additionally, if the complaint or information alleges the acceptance of gifts or favors, or the use of official position for personal advantage, notice of the complaint or information shall be furnished immediately to the Commissioner. Cases arising in the field shall be routed through the Executive Officer.

(e) If the complaint or information originates within the Section, necessary investigation and/or remedial action shall be initiated concurrently with the submission of notice to the Commissioner. Letters or complaints from outside the Section will accompany the notice to the Commissioner, who will determine and direct the action to be taken on them.

§ 1100.5 Information to employees.

(a) *Initial information.* At the time they are published or revised, each employee will be furnished a copy of the Section's regulations governing employee responsibilities and conduct. Further, the Personnel Director shall establish procedures to insure that employees are periodically reminded of these rules and regulations, at least annually.

(b) *Counseling service.* A counseling service is available to provide advice and guidance to individual employees concerning their responsibilities under the Section's rules and regulations. The Personnel Director will provide guidance and advice to employees regarding the provisions of this order. For the purposes of conflict of interest laws, the Chief, Real Estate shall serve as counselor.

Subpart B—Conduct and Responsibilities

§ 1100.6 Proscribed actions.

Employees are forbidden by law to take certain actions. An employee shall avoid any action which might result in, or create the appearance of:

- (a) Using public office for private gain;
- (b) Giving preferential treatment to any person;
- (c) Impeding Government efficiency or economy;
- (d) Losing complete independence or impartiality;
- (e) Making a Government decision outside official channels; or
- (f) Affecting adversely the confidence of the public in the integrity of the Government.

NOTE: A summary of laws pertinent to all Government employees is contained in appendix C.

§ 1100.7 Responsibilities.

(a) Each employee is responsible for acquainting him/herself³ with the standards of conduct expected of him, and to conduct himself, both on and off the job, in a manner which will insure that his actions reflect credit to the Federal Government and the Section.

(b) Supervisors will keep subordinate employees informed regarding the proper standards of conduct required. Before any remedial action is initiated against an employee whose conduct appears to be in violation of established standards or statutes of conduct, the Personnel Director or his designated representative will be consulted.

(c) The Personnel Director, or his designated representative, will provide assistance and/or counseling to employees and all levels of management in observance of regulations pertinent to conduct and/or conflict of interest.

(d) The Chief, Real Estate is the main point of contact on conflicts of interest problems. The Special Legal Assistant

will assist on matters of legal interpretation.

(e) All employees engaged in procurement and related activities have a special responsibility for protecting the Government's interests as well as for maintaining the reputation of the Section for honesty, courtesy, and fair dealing. Accordingly, all such employees are required to become thoroughly familiar with the provisions of Federal Personnel Manual, Chapter 735, relating to procurement activities.

§ 1100.8 Rules of conduct.

(a) The primary purpose of establishing rules of conduct is to provide guidance. Although the rules set forth in this Order are considered reasonable, it is recognized there will be instances in which one or more of these rules will be disregarded or violated. Provisions have therefore been made for the imposition of remedial actions designed both to correct the disregard on the part of the offenders and to serve as a caution to others.

(b) *On-the-job conduct.* Each employee is expected to:

(1) Report promptly for work in a condition which will permit him to perform assigned duties (i.e., in appropriate clothing, with any required tools and/or equipment, and in a sober condition).

(2) Render full, efficient, and industrious service in the performance of assigned duties. If insufficient work is assigned to occupy an employee fully at any given time, he is expected to notify his supervisor so that additional work may be assigned.

(3) Give ready response and enthusiasm to directions and instructions received from his supervisor.

(4) Exercise courtesy and tact in dealings with fellow workers and the public.

(5) Maintain a clean and neat personal appearance to the maximum practicable extent during working hours.

(6) Conserve and protect Federal funds, property, equipment, and materials.

(7) Observe the various laws, rules, regulations, and other authoritative instructions, and consistently conduct

³For convenience of reading, the standard generic pronoun usage will be followed in the remainder of this Order. Where the pronoun 'he' is used it should be understood to include he or she; 'him' includes him or her; 'his', his or hers; 'himself', himself or herself.

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himself in a manner which is beyond reproach.

(8) Recognize his responsibility for taking an active part in the Section affairs.

(9) Uphold with integrity the public trust involved in the position to which assigned.

(c) *Off-the-job conduct.* While the Section does not desire to interfere unnecessarily in the private lives of its employees, it does expect them to conduct themselves at all times in a manner which will not reflect unfavorably upon the Federal Government as their employer.

§ 1100.9 Conflict of interest.

(a) All Section employees are bound to refrain from any private business or professional activity which would place them in a position where there is a conflict between their private interests and the public interests of the United States. Even though a technical conflict of interest may not exist, employees must avoid the appearance of such a conflict from a public confidence point of view. (chapter 11 of title 18 of the U.S. Code, enacted by Pub. L. 878-849, effective January 21, 1963, constitutes the basic conflict of interest statutes.)

§ 1100.10 Outside employment.

(a) Section employees will not engage in outside employment or other outside activities, with or without compensation, which—

(1) Interferes with the performance of their Government duties;

(2) May reasonably be expected to bring discredit upon the Section or the Government; or

(3) Appears to involve a conflict of interest.

(b) All employees are prohibited from using their titles or positions in connection with any commercial enterprise or in endorsing any commercial product or venture.

(c) Section employees engaged in activities related to procurement will not accept part-time off-duty employment with any person that is a contractor with the Government. This prohibition applies regardless of the nature of the services to be performed. (e.g., Professional employees of the Section such as

attorneys, engineers, and accountants will not represent or advise a Government contractor concerning either the commercial or Government pursuits of such person; nor will such personnel render services in behalf of the officers of contractors with whom they transact business on behalf of the Government, even though such services might be performed in connection with the personal affairs of such officers of the contractors.)

§ 1100.11 Indebtedness.

(a) An employee shall pay each just financial obligation in a proper and timely manner, especially one imposed by law, such as Federal, State, or local taxes. For the purpose of this paragraph a 'just financial obligation' means one acknowledged by the employee, imposed by law, or reduced to judgment by a court.

(b) When an employee has a levy placed against his salary for failure to pay an indebtedness for Federal income taxes, he shall be issued a written reprimand stating that failure to make satisfactory arrangements regarding future tax liabilities will be grounds for removal.

(c) When an employee is the subject of a letter of complaint stating that he has not paid his State or local taxes and has failed to make satisfactory arrangements regarding the debt, he shall be interviewed by the Personnel Director, or his designated representative in field offices. In this interview he shall be instructed to make satisfactory arrangements for payment of his debt immediately and informed that failure to do so will be grounds for removal.

(d) When an employee is the subject of a letter of complaint regarding any other kind of indebtedness to a unit of government, Federal, State, or local, the procedure prescribed in paragraph (c) of this section, shall be observed.

(e) When a creditor who holds a legal judgment against an employee requests that the Section assist in collecting the debt, the employee shall be interviewed by the Personnel Director, or his designated representative in field offices, as appropriate. In this interview he shall be instructed to pay the

debt in full within 90 days, or such period of time as is acceptable to the creditor, and informed that failure to do so may be grounds for removal.

(f) When an employee is the subject of a letter of complaint from a creditor who does not hold a legal judgment against the employee, the Personnel Director shall forward a copy of the letter to the employee together with a memorandum calling the employee's attention to the provisions of this order. However, the Section will not assist the creditor in collecting the debt.

§ 1100.12 Gifts, entertainment, and favors.

(a) Except as provided below, an employee shall not solicit or accept, directly or indirectly, any gift, gratuity, favor, entertainment, loan, or any other things of monetary value, from a person who:

(1) Has, or is seeking to obtain, contractual or other business or financial relations with the Section;

(2) Conducts operations or activities that are regulated by the Section; or

(3) has interests that may be substantially affected by the performance or nonperformance of his official duty.

(b) The restrictions set forth above do not apply to:

(1) Obvious family or personal relationships, such as those between the employee and his parents, children, or spouse, when the circumstances make it clear that those relationships rather than the business of the persons concerned are the motivating factors;

(2) The acceptance of food and refreshments of nominal value on infrequent occasions in the ordinary course of a luncheon or dinner meeting or an inspection tour where an employee may be properly in attendance;

(3) The acceptance of loans from banks or other financial institutions on customary terms to finance proper and usual activities of employees, such as home or automobile mortgage loans; and

(4) The acceptance of unsolicited advertising or promotional material, such as pens, pencils, note pads, calendars, and other items of nominal intrinsic value.

(c) An employee shall not solicit a contribution from another employee for a gift to an official superior, make a donation as a gift to an official superior, or accept a gift from an employee receiving less pay than himself (5 U.S.C. 7351). However, this paragraph does not prohibit a voluntary gift of nominal value or donation in a nominal amount made on a special occasion such as marriage, illness, or retirement.

(d) An employee shall not accept a gift, present, decoration, or other thing from a foreign government unless authorized by Congress as provided by the Constitution and in 5 U.S.C. 7342.

(e) This order does not preclude an employee from receipt of bona fide reimbursement, unless prohibited by law, for expenses of travel and such other necessary subsistence as is compatible with this Order for which no Government payment or reimbursement is made. However, this Order does not allow an employee to be reimbursed, or payment to be made on his behalf, for excessive personal living expenses, gifts, entertainment, or other personal benefits, nor does it allow an employee to be reimbursed by a person for travel on official business under Section orders when reimbursement is proscribed by Decision B -128527 of the Comptroller General dated March 7, 1967.

(f) A gift or gratuity, the receipt of which is prohibited by this Order shall be returned to the donor with a written explanation why the return is necessary. A copy of the written explanation shall be submitted to the Personnel Director for filing in the employee's Official Personnel Folder (left side). When the return of the gift is not possible, the gift or gratuity shall be submitted to the Personnel Director with a written explanation why the return is not feasible. The Personnel Director shall turn the gift or gratuity over to a public or private charity or charitable organization.

§ 1100.13 Financial interests.

(a) An employee shall not:

(1) Have a direct or indirect financial interest that conflicts substantially, or appears to conflict substantially, with his Government duties and responsibilities; or

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(2) Engage in, directly or indirectly, a financial transaction as a result of, or primarily relying on, information obtained through his Government employment.

(b) The Order does not preclude an employee from having a financial interest or engaging in financial transactions to the same extent as a private citizen not employed by the Government so long as it is not prohibited by law, Executive Order 11222, Chapter 735 of the Federal Personnel Manual or this order.

§ 1100.14 Misuse of information.

An employee, for the purpose of furthering a private interest, shall not directly or indirectly use, or allow the use of, official information obtained through or in connection with his Government employment which has not been made available to the general public.

§ 1100.15 Support of Section programs.

(a) When a Section program is based on law or executive order, every employee has a positive obligation to make it function as efficiently and economically as possible and to support it as long as it is a part of recognized public policy. An employee may, therefore, properly make an address explaining and interpreting such a program, citing its achievements, defending it against uninformed or unjust criticism, pointing out the need for possible improvements, or soliciting views for improving it.

(b) An employee shall not, either directly or indirectly, use appropriated funds to influence a Member of Congress to favor or oppose legislation in violation of 18 U.S.C. 1913. However, an employee is not prohibited from:

(1) Testifying as a representative of the Section on pending legislation proposals before Congressional committees on request; or

(2) Assisting Congressional committees in drafting bills or reports on request, when it is clear that the employee is serving solely as a technical expert under the direction of committee leadership.

(c) Nothing in this order shall be construed as depriving an employee of his rights as a private citizen from peti-

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tioning or contacting elected representatives pertinent to expressing opinions regarding Governmental operations or pending legislation.

§ 1100.16 Disagreements between governmental officials.

An employee shall not make public any disagreements with, or criticism of, officials, policies, or practices of the Section or of other Federal agencies in areas relating to the Section's functions. Such matters may be brought to the attention of the Commissioner for appropriate action.

§ 1100.17 Use of government property.

An employee shall not directly or indirectly use, or allow the use of, Government property of any kind, including property leased to the Government, for other than officially approved activities. An employee has a positive duty to protect and conserve Government property including equipment, supplies, and other property entrusted or issued to him.

§ 1100.18 Gambling, betting, and lotteries.

An employee shall not participate, while on Government-owned or leased property or while on duty for the Government, in any gambling activity, including the operation of a gambling device; in conducting a lottery or pool; in a game for money or property; or in selling or purchasing a numbers slip or ticket.

§ 1100.19 Coercion.

An employee shall not use his Government employment to coerce, or give the appearance of coercing, a person to provide financial benefit to himself or another person, particularly one with whom he has family, business "mutual association", or financial ties.

§ 1100.20 General conduct prejudicial to the government.

An employee shall not engage in criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct, or other conduct prejudicial to the Government.

§ 1100.21 Miscellaneous statutory provisions.

The attention of each employee is directed to the following statutory provisions:

(a) House Concurrent Resolution 175, 85th Congress, 2nd Session, 72A Stat. B12, the Code of Ethics for Government Service.

(b) Chapter 11 of title 18, United States Code (U.S.C.), related to bribery, graft, and conflicts of interest.

(c) The prohibition against lobbying with appropriated funds (18 U.S.C. 1913).

(d) The prohibitions against disloyalty and striking (Executive Order 10450,⁴ 18 U.S.C. 1918).

(e) The prohibition against the employment of a member of a Communist organization (50 U.S.C. 784).

(f) The prohibitions against:

(1) The disclosure of classified information (18 U.S.C. 798, 50 U.S.C. 783);

(2) The disclosure of confidential information (18 U.S.C. 1905).

(g) The provisions relating to the habitual use of intoxicants to excess (5 U.S.C. 7352).

(h) The prohibition against the misuse of the franking privilege (18 U.S.C. 1719).

(i) The prohibition against the misuse of a Government vehicle (31 U.S.C. 638a (c)).

(j) The prohibition against the use of deceit in an examination or personnel action in connection with Government employment (18 U.S.C. 1917).

(k) The prohibition against fraud or false statements in a Government matter (18 U.S.C. 1001).

(l) [Reserved]

(m) The prohibition against counterfeiting and forging transportation requests (18 U.S.C. 508).

(n) The prohibitions against:

(1) Embezzlement of Government money or property (18 U.S.C. 641);

(2) Failing to account for public money (18 U.S.C. 643); and

(3) Embezzlement of the money or property of another person in the possession of an employee by reason of his employment (18 U.S.C. 654).

(o) The prohibition against unauthorized use of documents relating to

claims from or by the Government (18 U.S.C. 285).

(p) The prohibition against political activities in subchapter III of chapter 73 of title 5, U.S.C. and 18 U.S.C. 602, 603, 604, 607, and 608.

(q) The provision relating to the denial of the right to petition Congress (5 U.S.C. 7102).

(r) The prohibition against an employee acting as the agent of a foreign principal registered under the Foreign Agents Registration Act (18 U.S.C. 219).

(s) The prohibition against the employment of an individual convicted of felonious rioting or related offenses (5 U.S.C. 7313).

(t) The prohibition against a public official appointing or promoting a relative, or advocating such an appointment or promotion (5 U.S.C. 3110).

(u) The tax imposed on certain employees who knowingly engage in self-dealing with a private foundation (26 U.S.C. 4941, 4946). (Self-dealing is defined in the statute to include certain transactions involving an employee's receipt of pay, a loan, or reimbursement for travel or other expenses from, or his sale to or purchase of property from a private foundation.)

Subpart C—Statements of Employment and Financial Interests**§ 1100.22 Employees required to submit statements.**

The following Section personnel are required to submit statements of employment and financial interests.

(a) Those paid at a level of the Executive Schedule in subchapter II of chapter 53 of title 5, United States Code.

(b) Those classified at GG-13 or above, whose basic duties and responsibilities require the incumbent to exercise judgment in making a Government decision or in taking Government action in regard to administering or monitoring grants or subsidies.

(c) Those classified at GG-13 or above, whose basic duties and responsibilities require the incumbent to exercise judgment in making a Government decision or in taking Government action in regard to—

(1) *Contracting or procurement.* For the purpose of this Order, “contracting or

⁴18 FR 2489, 3 CFR, 1949-53 Comp., p. 936.

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procurement” is defined as executing or approving the award of contracts.

(2) *Auditing.* Auditing private or non-Federal enterprise including the supervision of auditors engaged in audit activities or participating in the development of policies and procedures for performing such audits, including the authorization and monitoring of grants to institutions or other non-Federal enterprise.

(3) *Other.* Those in activities in which the final decision or action has a significant impact on the interest of any non-Federal enterprise.

(d) Those at any grade level whose activities have a significant economic impact on the interest of any non-Federal enterprise.

§ 1100.23 Review of position descriptions.

(a) Because of the nature of the Section's mission, establishment of a standing list of employees subject to the provisions of this subpart is considered impractical inasmuch as assignments are subject to frequent change, organizational elements change with the changing work needs, supervisors or heads of organizations are subject to change with changing conditions. It is therefore necessary that all position descriptions in § 1100.22 (b) through (d) will be reviewed and a statement as to whether the incumbent of the position must file a statement of employment and financial interests, as required by this order, will be included in each position description. This determination will be reviewed at least annually, at the time of performance ratings, or incident to other prescribed annual reviews.

(b) Incumbents of positions identified as involving any of the functions described in § 1100.22 (b) through (d) will be required to comply with the filing requirements of this order. Any employee who believes that his position has been improperly included in the functions described in § 1100.22 (b) through (d), may request a review of the decision requiring him to file a statement through the established grievance procedures.

(c) Positions in the above categories may be excluded when it is determined by the Commissioner that the duties

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are at such a level or responsibility that the submission of a statement is not necessary because of the degree of supervision and review of the incumbent and the remote and inconsequential effect on the integrity of the Section.

§ 1100.24 Manner of submission—statements of employment and financial interests.

(a) Section personnel included in § 1100.22 (b) through (d) will submit statements of employment and financial interests in the format prescribed by the Personnel Director.

(b) Each employee required by this Order to file a statement will do so within 30 days following entry on duty of assignment to the position and periodically thereafter as prescribed in § 1100.28.

(c) Statement will be submitted to the Personnel Director in a double sealed envelope marked “For Attention of the Personnel Director Only”.

§ 1100.25 Excusable delay.

If, by reason of his duty assignment, it is impracticable for an employee to submit a statement within the period required by the Order, his immediate supervisor may grant a 15-day extension of time therefor, and the supervisor will notify the Personnel Director, in writing, of the extension. Any extension in excess of 30 days requires the concurrence of the Commissioner. Statements submitted pursuant to an extension of time granted will include appropriate notation to that effect.

§ 1100.26 Special government employees.

Each special Government employee who is an adviser or consultant shall, prior to appointment, file with the Personnel Director, a statement setting forth his Government employment, his private employment, and his financial interests. An appointee must list all of his investments and other financial interests such as pensions; retirement; group life, health, or accident insurance; and profit-sharing, stock bonus, or other employee welfare or benefit plan maintained by a former employer. He is not required to list precise amounts of investments.

§ 1100.27 Exceptions to specific appointees.

The Commissioner may grant an exception to a specific appointee from completing that part of the statement of employment and financial interests relating to his investments or other financial interests referred to in § 1100.26, upon making of a determination that this information is not relevant in light of the duties the appointee is to perform.

§ 1100.28 Supplementary statement.

Changes in or additions to the information contained in an employee's statement of employment and financial interests shall be reported as of June 30 of each year. Even though no changes or additions occur, a negative report is required. The supplementary statement, negative or otherwise, will be submitted by July 31 of each year. Notwithstanding the filing of the annual report, Section personnel shall at all times avoid acquiring a financial interest that could result, or taking action that would result, in a violation of the conflict-of-interest provisions of 18 U.S.C. 208 or this order.

§ 1100.29 Interests of employee's relatives.

The interests of a spouse, minor child, or other member of an employee's immediate household is considered to be an interest of the employee. For the purpose of this order, 'member of an employee's immediate household' means those blood relatives who are residents of the employee's household.

§ 1100.30 Information not required to be submitted.

An employee is not required to submit on a statement of employment and financial interests or supplementary statement any information relating to the employee's connection with, or interests in, a professional society or a charitable, religious, social, fraternal, recreational, public service, civic or political organization or a similar organization not conducted as a business enterprise. For the purpose of this order, educational and other institutions doing research and development or related work involving grants of money from or contracts with the Gov-

ernment are deemed 'business enterprises' and are required to be included in an employee's statement of employment and financial interests.

§ 1100.31 Information not known to employees.

If any information required to be included on a statement of employment and financial interests or supplementary statement, including holdings placed in trust, is not known to the employee but known to another person, the employee shall request that other person to submit the information on his behalf.

§ 1100.32 Confidentiality of employee's statements.

Each statement of employment and financial interests, and each supplementary statement, will be held in confidence. The Section may not disclose information from a statement except as the Commissioner or the Civil Service Commission may determine for good cause. Persons designated to review the statements are responsible for maintaining the statements in confidence and shall not allow access to, or allow information to be disclosed from the statement except to carry out the purpose of this order, or Federal laws or regulations.

§ 1100.33 Effect of employee's statements on other requirements.

The statements of employment and financial interests and supplementary statements required of employees are in addition to, and not in substitution for, or in derogation of, any similar requirement imposed by law, order, or regulation. The submission of a statement or supplementary statement by an employee does not permit him or any other person to participate in a matter in which his or the other person's participation is prohibited by law, order, or regulation.

PART 1101—PRIVACY ACT OF 1974**Sec.**

1101.1 Purpose and scope.

1101.2 Definitions.

1101.3 General policy: Collection and use of personal information.

1101.4 Reports on new systems of records; computer matching programs.